

03 CO

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)
Approved for use through 10/31/02. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

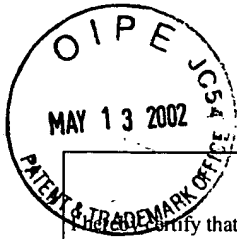
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/942,976
	Filing Date	August 29, 2001
	First Named Inventor	David K. YEE
	Group Art Unit	To Be Assigned
	Examiner Name	To Be Assigned
Total Number Of Pages In This Submission	10 + 59 REFERENCES	Attorney Docket No. 220772009200

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declarations	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <ul style="list-style-type: none">• Form PTO-1449 + copy - 6 pages• Fifty-nine (59) References• Return Receipt Postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement - 3 pages	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual Name	Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018
Signature	
Date	Apr 30, 2002

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on April 30, 2002.
 Aurelia Caparas

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



PATENT
Docket No. 220772009200

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

Verify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on April 30, 2002.


Aurelia Caparas

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

David K. YEE et al.

Serial No.: 09/942,976

Filing Date: August 29, 2001

For: CONTROL STRATEGY FOR
FLEXIBLE CATALYTIC
COMBUSTION SYSTEM

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of * is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

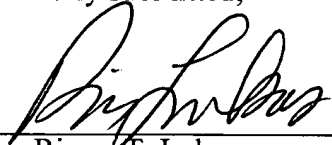
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 220772009200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: April 30, 2002

Respectfully submitted,

By: 
Rimas T. Lukas
Registration No.46,451

Morrison & Foerster ^{LLP}
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5905
Facsimile: (650) 494-0792

Form PTO-1449

Docket Number 220772009200

Application Number 09/942,976

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Applicant

David K. YEE et al.

Filing Date August 29, 2001

Group Art Unit To Be Assigned

Mailing Date April 30, 2002



U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	08/24/1976	3,975,900	Pfefferle			
	2.	09/25/1984	4,473,536	Carberg et al.			
	3.	08/13/1985	4,534,165	Davis, Jr. et al.			
	4.	07/28/1992	5,133,180	Horner et al.			
	5.	08/18/1992	5,139,755	Seeker et al.			
	6.	11/24/1992	5,165,224	Spadaccini et al.			
	7.	02/02/1993	5,183,401	Dalla Betta et al.			
	8.	08/03/1993	5,232,357	Dalla Betta et al.			
	9.	08/17/1993	5,235,804	Colket, III et al.			
	10.	09/28/1993	5,248,251	Dalla Betta et al.			
	11.	10/05/1993	5,250,489	Dalla Betta al.			
	12.	11/09/1993	5,259,754	Dalla Betta et al.			
	13.	11/23/1993	5,263,325	McVey et al.			
	14.	12/14/1993	5,269,679	Syska et al.			
	15.	01/25/1994	5,281,128	Dalla Betta et al.			
	16.	06/07/1994	5,318,436	Colket, III et al.			
	17.	05/09/1995	5,413,477	Moreland			
	18.	06/20/1995	5,425,632	Kazunori et al.			
	19.	09/26/1995	5,452,574	Cowell et al.			
	20.	10/31/1995	5,461,855	Inoue et al.			
	21.	10/31/1995	5,461,864	Betta et al.			
	22.	04/30/1996	5,511,972	Dalla Betta et al.			
	23.	04/30/1996	5,512,250	Betta et al.			
	24.	09/03/1996	5,551,869	Brais et al.			
	25.	09/10/1996	5,554,021	Robertson et al.			
	26.	10/29/1996	5,569,020	Griffin et al.			

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

Docket Number 220772009200

Application Number 09/942,976

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

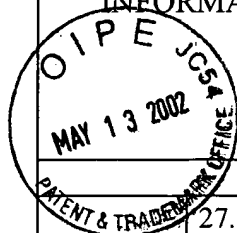
Applicant

David K. YEE et al.

Filing Date August 29, 2001

Group Art Unit To Be Assigned

Mailing Date April 30, 2002



27.	12/10/1996	5,581,997	Janes			
28.	06/03/1997	5,634,784	Pfefferle et al.			
29.	03/09/1999	5,879,148	Cheng et al.			
30.	04/27/1999	5,896,738	Yang et al.			
31.	06/22/1999	5,913,675	Vago et al.			
32.	08/17/1999	5,937,632	Döbbeling et al.			
33.	08/17/1999	5,937,634	Etheridge et al.			
34.	09/28/1999	5,957,682	Kamal et al.			
35.	10/12/1999	5,965,001	Chow et al.			
36.	11/16/1999	5,985,222	Sudduth et al.			
37.	12/14/1999	6,000,212	Kolaczowski et al.			
38.	03/21/2000	6,038,861	Amos et al.			
39.	05/23/2000	6,066,303	Sudduth et al.			
40.	07/04/2000	6,082,111	Stokes			
41.	07/18,2000	6,089,855	Becker et al.			
42.	08/01/2000	6,094,916	Puri et al.			
43.	08/01/2000	6,095,793	Greeb			
44.	08/22/2000	6,105,360	Willis			
45.	08/29/2000	6,109,018	Rostrup-Nielsen et al.			
46.	09/12/2000	6,116,014	Dalla Betta et al.			
47.	09/26/2000	6,122,916	Amos et al.			
48.	03/13/2001	6,201,029 B1	Waycuilis			
49.	04/17/2001	6,217,832 B1	Betta et al.			
50.	05/08/2001	6,226,977 B1	Ichiryu et al.			
51.	05/29/2001	6,237,343 B1	Butler			
52.	06/26/2001	6,250,877 B1	Westphal et al.			
53.	08/28/2001	6,280,695 B1	Lissianski et al.			
54.	09/11/2001	6,286,482 B1	Flynn et al.			
55.	09/18/2001	6,289,667 B1	Kolaczowski et al.			
56.	10/09/2001	6,298,654 B1	Vermes et al.			
57.	11/29/2001	2001/0046650 A1	Smith et al.			

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

Docket Number 220772009200

Application Number 09/942,976

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Applicant

David K. YEE et al.

Filing Date August 29, 2001

Group Art Unit To Be Assigned

Mailing Date April 30, 2002

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO	

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	58.	Felder, R.M. and Rousseau, R.W. (1978). "Elementary Principles of Chemical Processes," John Wiley and Sons, New York. page 414.
	59.	Lefebvre, A. H. (September 1998). <u>Gas Trubine Combustion</u> . Hemisphere Publishing Corporation. (Table of Contents). pg.49 and 192.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

